

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

IMPROVEMENT OF ETHANOL PRODUCTION FROM LIGNOCELLULOSE

the specification of which (check one)

☐ is attached hereto.

☒ was filed on April 7, 1997 as United States Application

Number or PCT International Application Serial No. 08/833,435

and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

			Priority Not Claim
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

\_\_\_\_\_  
(Application Number)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Number)

\_\_\_\_\_  
(Filing Date)

FOI 2008-05242001

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information known by me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
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(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
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(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
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(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
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As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I also hereby grant additional Powers of Attorney to the following attorney(s) and/or agent(s) to file and prosecute an international application under the Patent Cooperation Treaty based upon the above-identified application, including a power to meet all designated office requirements for designated states:

David E. Brook	Reg. No. 22,592	Thomas O. Hoover	Reg. No. 32,470
James M. Smith	Reg. No. 28,043	Alice O. Carroll	Reg. No. 33,542
Leo R. Reynolds	Reg. No. 20,884	N. Scott Pierce	Reg. No. 34,900
Patricia Granahan	Reg. No. 32,227	Richard A. Wise	Reg. No. 18,041
Mary Lou Wakimura	Reg. No. 31,804	Carolyn S. Elmore	Reg. No. 37,567

all of Hamilton, Brook, Smith and Reynolds, P.C., Two Militia Drive, Lexington, Massachusetts 02173;

and

Send correspondence to: Carolyn S. Elmore

Hamilton, Brook, Smith & Reynolds, P.C.

Two Militia Drive, Lexington, Massachusetts 02173

Direct telephone calls to: Carolyn S. Elmore

(617) 861-6240

10027250 12201  
TOTAL 0522001

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

-----  
Full name of sole

or first inventor Lonnie O. Ingram

Inventor's

Signature Lonnie O. Ingram Date 5/27/97

Residence 3132 NW 57th Terrace

Gainesville, Florida 32606

Citizenship U.S.

Post Office Address Same as above  
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Full name of second joint

inventor, if any Brent E. Wood

Inventor's

Signature Brent E. Wood Date 5/29/97

Residence 4117 SW 20th Avenue, Apt. 312

Gainesville, Florida 32607

Citizenship U.S.

Post Office Address Same as above  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Lonnie O. Ingram et al.

Serial No.: 08/833,435

Filed: April 7, 1997

For: IMPROVEMENT OF ETHANOL  
PRODUCTION FROM LIGNOCELLULOSE

Attorney Docket No.: BCI-001CPA (UF# 1509)

Group Art Unit: 1651

Examiner: F. C. Prats

Assistant Commissioner for Patents  
Washington, D.C. 20231

**Certificate of First Class Mailing (37 CFR 1.8(a))**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date set forth below.

*December 29, 1998*

Date of Signature and of Mail Deposit

By:

*Linda M. Chinn*

Linda M. Chinn

Reg. No. 31,240

Attorney for Applicant

**REVOCATION OF PRIOR POWERS OF ATTORNEY  
AND APPOINTMENT OF NEW POWER OF ATTORNEY**

Dear Sir:

University of Florida Research Foundation, Inc., the Assignee of the entire right, title and interest in the above-identified application by virtue of the Assignment document recorded in the U.S. Patent and Trademark Office for U.S. Application No. 08/833,435 on January 26, 1998 (reel 8981, frame 0452), hereby revokes all Powers of Attorney with respect to that application heretofore granted and appoints the below listed attorneys with full power of substitution and revocation to prosecute this application and to transact all business in the Patent Office connected therewith.

W. Hugo Liepmann	Reg. No. 20,407	Jeremiah Lynch	Reg. No. 17,425
James E. Cockfield	Reg. No. 19,162	Lawrence E. Monks	Reg. No. 34,224
Thomas V. Smurzynski	Reg. No. 24,798	David A. Lane, Jr.	Reg. No. 39,261
Ralph A. Loren	Reg. No. 29,325	Catherine J. Kara	Reg. No. 41,106
Giulio A. DeConti, Jr.	Reg. No. 31,503	Scott D. Rothenberger	Reg. No. 41,277
Ann Lamport Hammitte	Reg. No. 34,858	Linda M. Chinn	Reg. No. 31,240
Elizabeth A. Hanley	Reg. No. 33,505	Kevin J. Canning	Reg. No. 35,470
John V. Bianco	Reg. No. 36,748	Faustino A. Lichauco	Reg. No. 41,942
Amy E. Mandragouras	Reg. No. 36,207	C. Eric Schulman	Reg. No. 43,350
Anthony A. Laurentano	Reg. No. 38,220	Jeanne M. DiGiorgio	Reg. No. 41,710
Jane E. Remillard	Reg. No. 38,872	Megan E. Williams	Reg. No. 43,270
Nicholas P. Triano III	Reg. No. 36,397	Reza Mollaaghababa	Reg. No. P43,810

of LAHIVE & COCKFIELD, LLP, 28 State Street, Boston, Massachusetts 02109, United States of America.

Please send all correspondence relating to the above patent application to:

Elizabeth A. Hanley  
LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
(617) 227-7400

UNIVERSITY OF FLORIDA RESEARCH FOUNDATION, INC.

By: 

Typed Name: Ronald M. Kudla

Title: Director, Office of Technology Licensing

Dated: 12/18/98

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

DUCKET NUMBER: UF96-01 (UF1509)

Applicant or Patentee: Lonnie O. Ingram and Brent E. Wood

Serial or Patent No.: 08/833,435

Filed or Issued: April 7, 1997

Title: IMPROVEMENT OF ETHANOL PRODUCTION FROM LIGNOCELLULOSE

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Florida Research Foundation

ADDRESS OF NONPROFIT ORGANIZATION 223 Grinter Hall  
Gainesville, Florida 32611

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby declare the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.  
☒ each such person, concern or organization is listed below.

BC International Corporation  
101 Derby Street  
Hingham, Massachusetts 02043

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Ronald M. Kudla

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Office of Technology Licensing  
University of Florida

ADDRESS OF PERSON SIGNING 186 Grinter Hall, Gainesville, FL 32611

SIGNATURE

Ronald M. Kudla

DATE

5/22/97

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))-SMALL BUSINESS CONCERN**

CKET NUMBER: UF96-01 (UF1509)

Applicant or Patentee: Lonnie O. Ingram and Brent E. Wood  
Serial or Patent No.: 08/833,435  
Filed or Issued: April 7, 1997  
Title: IMPROVEMENT OF ETHANOL PRODUCTION FROM LIGNOCELLULOSE

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN BC International Corporation  
ADDRESS OF SMALL BUSINESS CONCERN 101 Derby Street  
Hingham, Massachusetts 02043

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.  
☒ each such person, concern or organization is listed below.

University of Florida Research Foundation  
223 Grinter Hall  
Gainesville, Florida 32611

Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Stephen J. Gatto

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING BC International Corporation, 101 Derby Street, Hingham, Massachusetts 02043

SIGNATURE  DATE 5/16/97

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Ingram *et al.*

Serial No.: 08/833,435

Filed: April 7, 1997 (2d CPA filed May 15, 2000)

For: ETHANOL PRODUCTION FROM  
LIGNOCELLULOSE

Attorney Docket No.: BCI-001CPA2

Group Art Unit: 1651

Examiner: Prats, F.

Commissioner for Patents  
Washington, D.C. 20231

ASSOCIATE POWER OF ATTORNEY

Sir:

The undersigned attorney, who has a power of attorney in the above-identified application, hereby grants an associate power to:

Peter C. Lauro, Esq.  
Registration No. 32,360  
Lahive & Cockfield, LLP  
28 State Street  
Boston, MA 02109

Please continue to forward all written and telephonic communications to Elizabeth A. Hanley at the address and telephone number listed below.

LAHIVE & COCKFIELD, LLP  
Attorneys at Law

By 

Giulio A. DeConti, Jr., Esq.  
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Date: December 21, 2001